



From hours to minutes: The power of AI Agents in sanctions compliance

SRI Agents transform compliance operations at a Major US Financial Institution

The challenge

Processing enormous daily transaction volumes meant having to deal with a mountain of sanctions hits. The organization's screening system used broad name-matching logic, which triggered high false-positive rates, leaving teams struggling to manage the growing workload.

Each hit demanded a highly manual, resource-intensive process. Investigators had to review transaction details, entity background checks, historical records, web research, and Requests for Information (RFIs) which could often take 100+ minutes to complete.

The second challenge involved reviewing potentially dozens of media articles per sanctions hit to determine if flagged content related to the correct individual or entity. This too required time-intensive human review and verification.

They needed a solution that could eliminate false positives and speed up the investigation process.

SymphonyAI solution

SymphonyAI conducted a PoC to demonstrate how SRI Agents could solve these challenges by automating many of these manual processes.

Trained on the policies and procedures of the client, SRI Agents were able to automate the following tasks:

Automated entity resolution: Agents analyzed transaction participants (sender, receiver, and sanctions match) by gathering and analyzing publicly available information.

Web research: Agents performed name disambiguation, relationship analysis, and background verification to identify false positives.

Prioritization & escalation: Where sufficient evidence couldn't be found, Agents flagged cases for human review with detailed justifications that aligned to the client's policies and procedures.

The result

The PoC delivered **significant operational efficiencies** and validated the effectiveness of SRI Agents:

- **99% false positive reduction** by autonomously matching and discounting sanctions hits
- **90% reduction in manual effort**, with the average alert review time reducing by 10X
- Agent and investigator adjudication agreement for **over 98%** of cases evidenced remarkable accuracy

50 SRI Agents were run in parallel to demonstrate how effectively the solution would scale to accommodate the huge volumes required. **300+ alerts** were adjudicated in **every hour**, saving **1,000's** of investigator hours.

The Agents produced a consistent, high-quality report with an adjudication decision for every sanctions hit. Each decision was backed by deep subject research including linked sources. The Agent outlined relevant policy and key rationale for its decisioning, streamlining investigator assessments.


The future

The success of the PoC confirmed the client's intention to deploy SRI Agents into live systems. With full access to internal data sources, Agent performance will be further enhanced, enabling even more impressive results to be achieved.

With the PoC demonstrating the transformative power of SRI Agents, the client is excited to scale Agent usage across more compliance workflows, confident in the significant efficiency and effectiveness benefits that can be gained as they progress towards Always-on Compliance.

The expanded use cases already implemented include a KYC Onboarding Agent, an SAR Narrative Agent, and an Investigation Summary Agent. But this is just the beginning with many more Agents currently being developed.

The future will see hundreds of SRI Agents that can be accessed via an Agent Marketplace so that many financial institutions can benefit from pre-trained, domain-specific AI automation to transform their compliance operations.



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